Purpose

The purpose of this policy is to define the Utah Department of Transportation (UDOT or Department) policies of the State of Utah, as established by the Utah Transportation Commission and the UDOT Executive/Deputy Director per Utah Code (Unannotated), section 63-49-12.(4) and 63-49-4.(7) in conjunction with the Department Administrative Team, Administrative Services, and the Engineering Services Division based on UDOT rules, and to outline the procedures relating to these policies.

Further, the purpose of this policy is to establish guidelines for Department personnel on the process of review, approval, and deletion of policies and procedures.

Policy

The respective Group Leader reviews all policies and procedures related to that Group's functions and activities, with approval authority for those policies, as delegated by the Executive/Deputy Director [63-49-4.(7)], and not requiring Transportation Commission approval. The Quality Improvement Council (QIC) reviews and sends policies involving programming of funds, State highway designations, Corridor Preservation, or a special internal audit function to the Commission for Transportation Commission approval [63-49-12.(4)].

The Executive/Deputy Director, Project Development Engineer, Program Development Engineer, Operations Engineer, Administrative Services Group Leader, Comptroller, Internal Audit Director, and Community Relations Team approve polices and procedures for their appropriate areas of control. Consider Utah Code Title 63, Chapter 46a-3 as last amended to determine when rulemaking is required.

The Administrative Services Group, Central Library, will provide and maintain a hard copy and WordPerfect files of the policies and procedures manual in order to complement the FolioVIEWS published version of Department policies and procedures. The Central Library will provide and maintain a policies and procedures infobase in FolioVIEWS format with the assistance of FolioVIEWS experts within the Department.

Groups, divisions, sections, and units will develop policies and procedures as necessary to meet Department Strategic Goals and Objectives. The originator will present the new, modified, or deleted policy to their approval authority as described above and in accordance with Procedure 05-13.2. All originators of policies and procedures will review their policies and procedures at least annually, update them when needed, and certify the completion of this review to the appropriate Group leader. The certification will be done by Electronic Mail (E-Mail) or hard copy.

The annual review for all policies will take place during January and February of each year. The certification will be complete no later than the second Wednesday of March of each year.

As part of the development process certain procedural actions must be taken by the area with primary responsibility (proponent) as well as those tasked by the proponent to review a particular policy and if appropriate, procedure(s). These actions ensure proper coordination of Department policies and procedures.

Correspondence between proponents and tasked areas will be, to the maximum extent possible, through E-Mail. The use of E-Mail puts each tasked area on notice that they must respond with comments or concur with the draft. The originator will be responsible to ensure all E-Mail notices dealing with policies and procedures are opened and replies are received. The originator will follow up with each tasked area not replying to the coordination request.

All groups and regions will comply with the policies and procedures established by the Department.

Background

Under the old format, policies and procedures when complete had to be copied or printed on a particular form, then numbered and dated. Policies and procedures were maintained in separate files and locations. If either a policy or procedure referenced the other, the employee had to look in a different location. Many procedures existed without supporting policy.

A policy may stand alone, but a procedure must be tied to a corresponding policy.

To reduce confusion a new format combining all procedures with a supporting policy has been implemented. A Folio Bound VIEWS infobase was created to allow employees with access to Windows software the ability to quickly search for information.

Further, over the years, computer files have been lost, if the file ever existed. Files will now be maintained in at least two locations, the primary owner and the Central Library. If the manager of the Folio VIEWS infobase is other than the Central Library, a third location will exist. Backup tapes through Information Systems Services will also be available.

Definitions

Tasked Area

A tasked area is any Group, division, section, unit, or individual specifically identified in the responsibility section of a policy or procedure, or as deemed necessary for coordination purposes by the originator/proponent.

Policy

Policies are basic concepts that are subject to periodic review and that provide a statement of philosophy of the Department. A policy will consist of a purpose statement, a policy statement and, when necessary, background, definitions, and procedural information.

A statement of intent that defines the area within which a decision should be made, securing consistency with the overall plans and goals of the Department's mission.

A definite course or method of action selected from among alternatives in light of given conditions to guide and determine present and future decisions.

Procedure

Procedures are statements that provide a sequence of specific actions or methods required to accomplish a given function or work routine, provide a particular way of accomplishing something or way of acting, or an expected or established way of doing something, all in order to comply with a policy, informing individuals of their responsibility in matters concerning the Department.

A procedure will contain an outline of responsibilities and actions to be taken.

Numbering System

Each policy or procedure number begins with *UDOT* to identify it as a Utah Department of Transportation policy or procedure. Each policy is assigned a number used to identify the main section or group within the Department organization, and if desired, an alphanumeric used to identify a division or subgroup within a particular group. This is followed by a dash (-) and number issued for a particular policy. A procedure number repeats the policy number, followed by a period (.) and a number, in sequence, starting at one (1) for each procedure derived from that policy. For procedures higher than the ninth procedure use 10, 11, 12, etc. following the period.

Examples:

UDOT 02-5	(for a policy where 02 indicates Comptroller)
UDOT 02-5.1	(for a procedure supporting policy 02-5)
UDOT 02-5.2	(for the second procedure supporting policy 02-5)
UDOT 08B-XX	(for a policy where 08 indicates Project Development and B indicates Construction)

Procedures

General Information UDOT 05-13.1

Responsibility: Executive/Deputy Director (per Utah Code (Unannotated), section 63-49-4.(7))

Actions

1. Make policy for the administration of the Department, state transportation systems, and programs.

2. Within guidelines of this policy, delegate to the appropriate Group leader the responsibility of ensuring policies and procedures, before adoption, are consistent with Federal and State requirements and with Department rules, regulations, policies, and procedures.

Responsibility: Group Leaders

3. Within policy guidelines, approve new and modified (updated) policies and the deletion of those policies being recommended for elimination that relate to the administration of the Department and that fall under their area of responsibility.

4. Within policy guidelines, recommend approval or deletion to the QIC of policies that involve programming of funds, State highway designations, Corridor Preservation, or a special internal audit function.

Responsibility: Department Quality Improvement Council

5. Within policy guidelines, recommend approval or deletion to the Transportation Commission of policies that involve programming of funds, State highway designations, Corridor Preservation, or a special internal audit function.

Responsibility: Transportation Commission (per Utah Code (Unannotated), section 63-49-12.(4))

6. Within policy guidelines, approve new and modified (updated) policies and the deletion of those policies being recommended for elimination that involve programming of funds, State highway designations, Corridor Preservation, or a special internal audit function.

Responsibility: Administrative Services Group, Central Library

7. Maintain a hard copy and WordPerfect files of all UDOT policies and procedures, making a copy of the Policy and Procedures Manual for each Region and District office and for selected areas within the Complex.

8. At least quarterly, or as directed, provide an updated index of Policies and Procedures to all holders of the complete set.

9. Publish change notices of new, updated, and eliminated policies and procedures, and distribute them to holders of the complete set.

10. Maintain the Folio infobase for policies and procedures. As changes are approved, update the infobase with new or updated policies and procedures and remove any eliminated policies and procedures.

11. Maintain the Revisions section in the policy infobase in order to provide the user with an overview of the latest additions, changes, and deletions. Link the revision references to the appropriate section in the body of the infobase.

12. Through E-Mail, notify all Department employees that there has been a revision to Department policies and procedures.

13. With the assistance of Local Area Network (LAN) administrators, consistent with licensing and purchasing requirements:

    - Provide a Folio Bound VIEWS version of the infobase for access by all employees in the Windows Group.

    - Provide CD-ROMs and 3.5 high density disks of the infobase to employees not connected to the LAN, or anyone within the Department requesting the infobase based on the existing capabilities of the Department.

    - Publish the policies to the Internet.

14. Provide assistance to employees in the use of the WordPerfect files and macros used to write policies and procedures.

15. Provide assistance to employees in the use of the “Department of Transportation Publications on Folio.”

Responsibility: Information Systems Services

16. Provide assistance to the Central Library and employees as requested to support Folio software being used by the Department, and the "Department of Transportation Publications on Folio."

Responsibility: Region Directors

17. Ensure that employees comply with all adopted policies and procedures.

18. Ensure that the policies and procedures manual is current and complied with.

19. Provide hard copies of the policies and procedures manual to those offices, within their region, that do not have direct access to the Folio version of the manual.

20. Recommend to Group Leaders additions, deletions, or modifications to policies and procedures.

21. Assist Group Leaders with the yearly review and update of policies and procedures.

Responsibility: Group Leaders

22. Ensure that employees comply with all adopted policies and procedures.

23. If a policies and procedures manual holder, ensure that the policies and procedures manual is current and complied with.

24. Develop Group procedures, as needed, that are consistent with the policies and procedures contained in this manual.

25. Through Group, Division, Section, or Unit proponents review all policies and procedures at least yearly, update as required, and certify completion of the review in accordance with this policy.

26. Approve policies and procedures falling within the Group's areas of responsibility.

Responsibility: All Employees

27. Comply with all Department policies and procedures.

Responsibility: Group Leaders

28. Complete annual review of all policies in accordance with this policy.

29. Forward results of review by e-mail to the Library.

30. Complete Procedure 05-13.2 as required for new, modified, or deleted policies and procedures.

Responsibility: Administrative Services Group, Central Library

31. Update/delete policies as required by the annual review.

32. Complete Procedure 05-13.2 as required for new, modified, or deleted policies and procedures.

Review and Approval Process for Policies and Procedures UDOT 05-13.2

Responsibility: Group/Division/Section/Unit

Actions

1. Determine the need for a new or amended policy or procedure or the need to delete a policy or procedure. (Consider Utah Code Title 63, Chapter 46a-3 as last amended to determine when rulemaking is required.)

2. Prepare the new or amended policy with accompanying procedure(s) in rulewriting format, as modified by UDOT for use with Department policies and procedures format.

    A. The rulewriting format requires that additions be underlined, and deletions be struck out (interlined). NOTE: "Rulewriting Manual for Utah," 63-46a-4(2)(b) and R15-4-9.

    B. In the modified format, use WordPerfect Redline (replaces underlined) and Strikeout by applying as Font Appearance changes or by using the WordPerfect Compare Document feature. In Compare Document, add markings by comparing the document with just the new text with the document containing just the old text. The new document should be a draft of what the final document will look like. The old document is the unmodified version of the policy/procedure. The Compare Document method will automatically add Redlining and Strikeout as appropriate.

3. Prepare the justification for deletion of a policy or procedure.

4. Submit the policy with accompanying procedure(s) or the justification for deletion, as an E-mail attachment, to all tasked areas (those listed in the responsibility area of the procedure(s)) for review and concurrence on all policies and procedures. Set a deadline date by which the tasked area is required to respond.

    A. The E-Mail should instruct the tasked area to review the attachment and reply to the originator by a specified date. **(Allow at least ten working days for review. If less time is needed, the originator must work closely with each tasked area to ensure proper coordination is completed. More time may be required for larger or more complex policies and procedures.)**

    B. The E-Mail will include the following statement, "A reply, with suggested changes or a concurrence with the draft document, by E-Mail or hard copy is required by the specified date."

Responsibility: Tasked Area

5. Review entire policy and accompanying procedure(s) or the justification for deletion.

6. By E-mail reply to the original tasking, providing concurrence or non-concurrence with reason to all addressees within the deadline set by the originator. A response is always required from the tasked area to the area with primary responsibility.

Responsibility: Group/Division/Section/Unit

7. If no response, either E-Mail or written, has been received from the tasked area, the originator will contact the tasked area to ensure coordination is complete.

8. Consolidate inputs from tasked areas and resolve problems or conflicts with the appropriate area(s).

Responsibility: Tasked Area

9. Work with the area with primary responsibility to resolve problems or conflicts.

Responsibility: Group Leader

10. When all problems and conflicts are resolved, and the procedure(s) is/are complete or the justification for deletion is complete, approve the use of the policy and if appropriate related procedures or the deletion of a policy and related procedure for that Group’s area of responsibility, within guidelines of this policy.

11. For policies requiring Transportation Commission approval, submit the new or modified policy without procedures, to the Administrative Assistant to the Director, in the modified rulewriting format or a list of policies to be deleted, seven working days prior to the Quality Improvement Council meeting.

Responsibility: Administrative Assistant to the Director

12. Prepare the Quality Improvement Council (QIC) Agenda, including the proposed policy or list of policies to be deleted as an attachment, and distribute the Agenda and all attachments to QIC members.

Responsibility: Quality Improvement Council

13. Review required proposed policies for recommendation for approval, making suggestions for revision as required.

14. Return all policies that are not ready for Transportation Commission action to the

appropriate Group/Division/Section/Unit through the appropriate Group leader.

15. Forward new or modified policies or the list of policies to be deleted that involve programming of funds, State highway designations, Corridor Preservation, or a special internal audit function to the Transportation Commission secretary.

Responsibility: Transportation Commission Secretary

16. Prepare the Commission Agenda, including the proposed policy or list of policies to be deleted as an attachment, and distribute the Agenda and all attachments as required.

Responsibility: Transportation Commission

17. Review proposed policies for approval, making suggestions for revision as required.

18. Approve policies that fall within policy guidelines that involve programming of funds, State highway designations, Corridor Preservation, or a special internal audit function.

19. Review the list of policies to be deleted, approving the list in total or approving a specific policy for deletion for those policies that involve programming of funds, State highway designations, Corridor Preservation, or a special internal audit function.

20. Return all policies (approved, rejected, or those requiring modification) or the list of policy deletions, to the Group/Division/Section/Unit through the appropriate Group leader.

Responsibility: Group/Division/Section/Unit

21. Make any necessary changes as recommended by the Quality Improvement Council or Transportation Commission, coordinating the changes in accordance with this procedure.

22. If modifications were made and approval by the Quality Improvement Council or Commission is still required, return the policy to the Administrative Assistant to the Director for inclusion in the QIC agenda in accordance with this procedure.

23. Prepare the approved new or modified policy in final format, remove Redlining and Strikeout text, and submit the final policy with all appropriate procedures to the Central Library in WordPerfect 6.1 or higher file format, with one paper copy of the policy and procedure(s).

24. Submit list of deleted policies and/or procedures to the Central Library.

25. If a procedure has been deleted, but the policy remains with or without other accompanying procedures, submit the policy with any remaining procedures to the Central Library in WordPerfect 6.1 or higher file format, with one paper copy of the policy and procedure(s).

Responsibility: Administrative Services Group, Central Library

26. Complete all actions required by procedure 05-13.1.